

12-21-04

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10Cw**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Shini Kamei, et al.

Docket No. 10

14321.59

Serial No.

10/715.146

Filing Date

November 17, 2003

Examiner

Unassigned

Group Art Unit

2874

Invention: OPTICAL WAVEGUIDE CIRCUIT



I hereby certify that this **Information Disclosure Statement and corresponding documents\***  
*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
**December 20, 2004**

*(Date)***Andrea H. Maxfield***(Typed or Printed Name of Person Mailing Correspondence)*

A handwritten signature of Andrea H. Maxfield in black ink.

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- Transmittal Letter (2 pgs, in duplicate); ✓
- Supplemental Information Disclosure Statement (2 pgs); ✓
- Form PTO-1449 Listing all Cited References (3 pgs); ✓
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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
14321.59

In Re Application Of: Shin Kamei et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/715,146	November 17, 2003	Unassigned	022913	2874	1904

Title: OPTICAL WAVEGUIDE CIRCUIT



Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

- the statement specified in 37 CFR 1.97(e);

OR

- the fee set forth in 37 CFR 1.17(p).

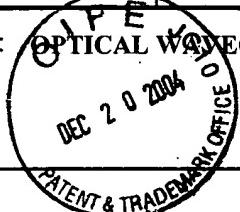
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
 14321.59

In Re Application: Shin Kamei et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/715,146	November 17, 2003	Unassigned	022913	2874	1904

Title: OPTICAL WAVEGUIDE CIRCUIT



**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Director is hereby authorized to charge and credit Deposit Account No. as described below.
  - Charge the amount of \_\_\_\_\_
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 ERIC M. KAMERATH  
 Signature

Dated: December 20, 2004

ERIC M. KAMERATH  
 Registration No. 46,081  
 Customer No. 022913

CC:



EXPRESS MAIL LABEL NO.: EV 485808975 US

PATENT APPLICATION  
Docket No.: 14321.59

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Shin Kamei et al.

Serial No.: 10/715,146 ) Art Unit  
Filed: November 17, 2003 ) 2874  
Confirmation No.: 1904 )  
For: OPTICAL WAVEGUIDE CIRCUIT )  
Examiner: Unassigned )

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

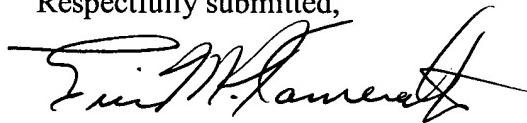
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 20<sup>th</sup> day of December.

Respectfully submitted,



Eric M. Kamerath  
Attorney for Applicant  
Registration No. 46,081  
Customer No. 022913

EMK:ahm  
AHM0000000020V001



EXPRESS MAIL TRADEMARK LABEL NO.: EV 485808975 US

Form PTO-1449

Sheet 1 of 3

Applicant: Shin Kamei, et al.  
Serial No.: 10/715,146 Att'y Docket No.: 14321.59  
Filing Date: November 17, 2003 Group: 2874  
Confirmation No.: 1904  
For: OPTICAL WAVEGUIDE CIRCUIT

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SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner Initial*	Document Number	Publ./Issue Date	Name	Class	Sub Class	Filing Date
_____ A1.	5577141	11/19/96	Adar et al.			03/10/95
_____ A2.	2002/122623	09/05/02	Yoneda			12/29/00

Foreign Patent Documents

Examiner Initial*	Document Number	Publ. Date	Country or Patent Office	Sub Class	Class	Trans-lation
_____ A3.	EP1118888A2	07/25/01	EPO			no
_____ A4.	CA 2315458	02/10/01	Canada			no
_____ A5.	GP 2370128	06/19/02	Great Britain			no

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EV 485808975 US

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Sheet 2 of 3

Applicant: Shin Kamei, et al.

Serial No.: 10/715,146

Att'y Docket No.: 14321.59

Filing Date: November 17, 2003

Group: 2874

Confirmation No.: 1904

OPTICAL WAVEGUIDE CIRCUIT



Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial\*

- \_\_\_\_\_ A6. Aretz K, et al., *Reduction of cross talk . . .*, Electronics letters, IEE Stevenage, GB, vol. 25, no. 11, 25 May 1989 (1989-05-25), pages 730-731, XP)))112786, ISSN: 0013-5194

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



EXPRESS MAIL LABEL NO.: EV 485808975 US

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Sheet 3 of 3

Applicant: Shin Kamei, et al.  
Serial No.: 10/715,146  
Filing Date: November 17, 2003  
Confirmation No.: 1904  
For: OPTICAL WAVEGUIDE CIRCUIT

Att'y Docket No.: 14321.59  
Group: 2874

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

AHM0000000019V001

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.